



Management Plan

*Nominations for Fiscal Years
2013–2014*

**Director, International Cooperation
Office of the Under Secretary of Defense
Acquisition, Technology and Logistics**

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Report Documentation Page				Form Approved OMB No. 0704-0188	
Public reporting burden for the collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to a penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.					
1. REPORT DATE 2011		2. REPORT TYPE		3. DATES COVERED 00-00-2011 to 00-00-2011	
4. TITLE AND SUBTITLE Coalition Warfare Program Management Plan FY2013-2014				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S)				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Office of the Under Secretary of Defense Acquisition, Technology and Logistics, Director, International Cooperation, Washington, DC, 20301				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSOR/MONITOR'S ACRONYM(S)	
				11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
12. DISTRIBUTION/AVAILABILITY STATEMENT Approved for public release; distribution unlimited					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT					
15. SUBJECT TERMS					
16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT Same as Report (SAR)	18. NUMBER OF PAGES 13	19a. NAME OF RESPONSIBLE PERSON
a. REPORT unclassified	b. ABSTRACT unclassified	c. THIS PAGE unclassified			

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BACKGROUND

Current U.S. military strategy and the global security environment make coalition warfare and multinational operations fundamental features of the U.S. national security strategy. Coalitions provide a broad base of technological, operational, and logistical support for military operations and ease the U.S. financial and manpower burdens associated with meeting military goals and objectives. U.S. strategic guidance confirms that coalitions and relationships with international partners are high priorities for the nation and the Department of Defense. The 2010 National Security Strategy recognized that alliances and multinational operations are force multipliers. The 2010 Quadrennial Defense Review highlighted the value of initiatives aimed at improving partner capacity for long-term security cooperation.

Despite decades of conducting multinational operations, the United States and its partners continue to experience problems with interoperability. Shortcomings in areas such as C4ISR (command, control, communications, and computers and intelligence, surveillance, and reconnaissance), battlespace awareness, humanitarian assistance/disaster relief, and logistics reveal the complexities and challenges associated with multinational air, land, and sea campaigns. Such problems encumber warfighters' abilities to effectively and safely complete missions.

To address these needs the Department of Defense established the Coalition Warfare Program (CWP) program element (0603923D8Z) under the authority of the Office of the Under Secretary of Defense for Acquisition, Technology and Logistics (OUSD(AT&L)). CWP provides seed funding to DoD organizations that conduct cooperative research, development, test, and evaluation (RDT&E) projects with foreign partners. It is the only Office of the Secretary of Defense (OSD) program dedicated to initiating cooperative research, development, test and evaluation (RDT&E) projects with allies and coalition partners. As national defense budgets decline, international engagements aimed at the development and sustainment of military capabilities will grow in importance.

CWP projects can support near-term, interoperability-enhancing solutions for current operations and assist in the identification of coalition solutions to long-term or persistent interoperability issues (architectures, coalition requirements, system acquisition). One or two years of funding from CWP can enable Project Teams to move a technology into the next stage of development or prepare for transition to operational forces.

CWP seed funding attracts support for projects from other U.S. government sponsors as well as foreign partners. In its eleven-year history, CWP has leveraged \$3 of other U.S. funding for every \$1 it has invested in cooperative projects and \$5 of foreign partner funding for every \$1 investment.

"In an increasingly interdependent world, challenges to common interests are best addressed in concert with like-minded allies and partners who share responsibility for fostering peace and security. America's national security and defense strategies depend on strong foreign ties, including a vibrant network of defense alliances and partnerships adapted to this challenging era."

"Thoughtful engagement, communication, and collaboration with allies and partners who share our interest in fostering peace and security remain essential."

- Quadrennial Defense Review, February 2010

Funded projects accelerate the delivery of high-quality solutions to warfighter problems, improve U.S. interoperability with its coalition partners, and strengthen global partnerships. CWP pursues projects that enhance and increase coalition capabilities in support of technological or political objectives. CWP projects may form the basis for future cooperation with additional partners to meet a larger need.

CWP projects can support DoD acquisition by:

- Helping program offices convert U.S.-only projects into coalition solutions for the U.S. warfighter
- Influencing coalition interoperability in major programs that will have far-reaching use by U.S. forces.
- Enabling access to leading-edge global technology.
- Addressing requirements of combined operations early in a program's development cycle to avert risks to joint/coalition operations and avoiding costs associated with adding requirements later in the acquisition process.

CWP REQUIREMENTS

Projects selected for CWP funding must generally adhere to the following criteria:

Strong project management: CWP only accepts project nominations from DoD organizations, specifically the research & development (R&D) community. CWP Project Teams must properly execute, manage, and report on the selected CWP projects, mitigating risks and seizing opportunities as they arise. Successful projects have achievable goals, reasonable funding requests, and executable transition plans.

Sound foreign partnership: CWP projects are collaborative efforts with foreign partners' defense organizations. The foreign partner(s) must have a demonstrable engagement in the RDT&E work and interest in the project's outcomes. The legal vehicles and requirements (i.e., required international agreements, export control, security, technology transfers, etc) must be well-understood and in place for the project to receive the CWP funding.

Substantive RDT&E content: CWP, as an RDT&E program element, mandates that funding be used to execute a research, development, test and evaluation project. Projects can come from the full RDT&E spectrum, but must be consistent with the rules for use of RDT&E funding (for example, CWP cannot fund training or exercises).

Warfighter emphasis: CWP selects projects that have the support of the Combatant Commands (COCOMs) and that provide them the coalition capabilities they require to be successful in their missions and operations. Projects may support the full-range of DoD operations.

Sound resource planning: CWP funds should be utilized to enhance a project or make it executable, not as the primary source of funding. To maximize the benefit to the U.S. Government, CWP funding is **leveraged against the** financial and non-financial contributions (e.g., existing labor, equipment,

infrastructure usage, etc) of each foreign and U.S. government partner in the project. An organization's commitment to a project is weighed by financial contributions that are directly applied to the new RDT&E effort in the CWP project.

Tangible outcomes: CWP projects result in tangible deliverables. Highly attractive projects develop and demonstrate solutions that reach warfighters quickly.

Transition Plan: CWP transition involves maturing the technology to the next phase of development, testing, or final fielding. CWP nominations must have an identified transition plan with letters of commitment and endorsement from a transition manager that show support for the effort after the CWP project is completed.

LEVERAGING RESOURCES

FUNDING

CWP funding should be requested for U.S. activities within a project. Projects are selected for one to two years of funding, up to a maximum of \$1 million per year, allowing projects to execute for up to three years. The request for CWP funding should be a fraction of the cost of the whole project and should be matched or exceeded by the other U.S. resources. Projects should also show equitable cost sharing between the total U.S. (CWP and other U.S. contributions) and each of the foreign partners. Projects requesting the maximum CWP funding must demonstrate responsiveness to critical DoD needs.

MULTI-AND BILATERAL FORUMS

The DoD has international dialogues with numerous partners to identify needs and deficiencies in coalition capabilities. The DoD Science and Technology (S&T) and R&D communities have a wealth of knowledge with respect to activities in their counterparts' programs, and well-established relationships with many of their direct counterparts in partner nations. CWP seeks to leverage, promote, and increase cooperative activities within these communities.

OTHER PROGRAMS

CWP projects can add new capabilities to projects that have or will receive funding from other programs. For example, CWP funding can help expand the scope of Joint Capability Technology Demonstrations (JCTDs—for more information go to: www.acq.osd.mil/jctd) through discrete projects that improve the technologies.

Projects can seek CWP funds after successfully fulfilling the requirements of a previous project (i.e., Service International Cooperative Research and Development (ICR&D) project, Small Business Incentive

“Achieving the Department’s strategic objectives requires close collaboration with counterparts at home and with key allies and partners abroad. Through its foreign defense relationships, the United States not only helps avert crises but also improves its effectiveness in responding to them.

- Quadrennial Defense Review,
February 2010

Research (SBIR), Small Technology Transfer Innovation Research (STTR), etc) as long as the proposed effort includes new cooperative R&D that is discernibly different from the previous project.

MANAGEMENT APPROACH

The Coalition Warfare Program is administered by the Office of the Director of International Cooperation (IC), OUSD (AT&L). Director, IC is the approval authority for selection and funding of CWP projects. The Deputy Director for CWP serves as the senior OSD point of contact for the Program. The OUSD(AT&L)/IC CWP staff, reporting to the Deputy Director for CWP, oversee the entire proposal-to-project execution cycle, maintain the budget, and monitor the use of CWP funds by the Project Teams.

Once proposals are submitted, the CWP Team puts them through several stages of review and nomination refinement before selecting the top candidates for the Subject Matter Experts (SME) Review Panel and Embassy Reviews. The CWP Team utilizes a broad range of experts in DoD and in our foreign partners' embassies to select projects that best enable coalition solutions and meet the needs of the Department and our partners. Upon approval, CWP provides funding to the Project Team to execute according to the project plan.

ROLES

COCOM Science Advisor staffs: The technology experts supporting the regional and functional Combatant Commanders. These offices are the advocates for Service and Agency run projects that are designed to meet their Commanders' objectives. They are also a key part of the SME Review Panel.

CWP Team: The Deputy Director for CWP and OUSD(AT&L)/IC CWP staff. The CWP Team conducts outreach to seek potential projects, analyzes nominations, works with U.S. and partner nation teams to improve the viability of worthwhile nominations, and oversees the execution of the selected projects.

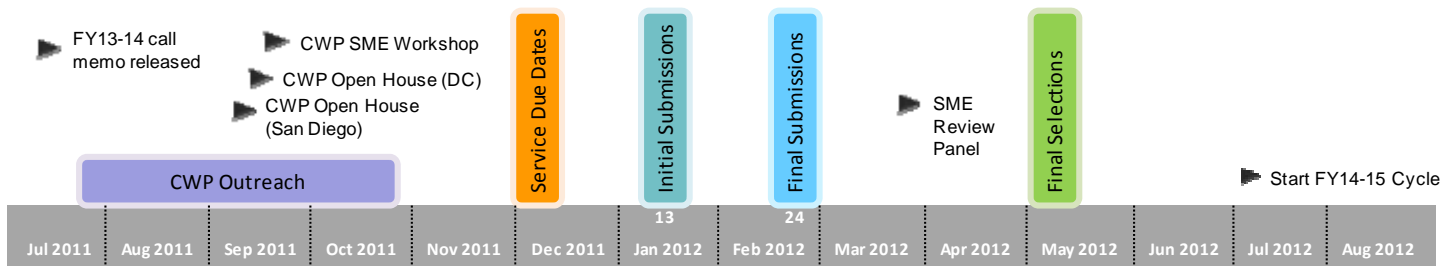
DoD R&D Community: The government labs and program offices within the Service Departments and Agencies that have the Title 10 Authorities to execute RDT&E activities. The R&D Community includes the project leads and managers (once selected) of CWP projects, and the transition managers of the products. Experts within this community participate in CWP reviews to help identify project synergies and duplications.

Embassy Representatives: Members from the Defense and S&T Attaché staffs within the partners' Washington DC Embassies. The CWP Team holds discussions with specific embassy representatives to evaluate partner support and execution plans of proposals.

SME Panel: The Review Panel includes the Services' International Program Offices (IPOs), Service and COCOM requirements communities, DoD Agencies, the Joint Staff, and OSD staff. On a case-by-case basis, SMEs from organizations with particular areas of expertise are recruited to evaluate projects that involve technologies within that area. SMEs review the final CWP candidates and evaluate them against the Department's warfighting priorities and the CWP project criteria. These recommendations help the CWP Team make determinations on the candidates, to include the final selections.

Technology Advisor Role: Experts from the Service research labs that review the project nominations to identify known technical impediments or duplicative programs. Their support early in the development process will create stronger project nominations.

PROJECT SUBMITTAL/SELECTION SCHEDULE



The following nine steps outline the basic CWP project schedule. Additional guidance and details are provided in the referenced Annexes. The CWP Team has compressed the project timeline for the FY13-14 cycle to allow more time to get the necessary international agreements into place before the start of the new fiscal year.

STEP 1: CALL FOR NOMINATIONS

OUSD(AT&L)/IC will issue a memo to COCOMs, Services, and DoD agencies in July requesting CWP project proposals. Along with the request memo, this management plan and the new document templates will be distributed and posted on the CWP website: <http://www.acq.osd.mil/ic/cwp.html>.

STEP 2: OUTREACH

The CWP Team looks for potential nominations and provides project leads/teams assistance with nomination development during the outreach phase. In addition to outreach visits to specific DoD locations, the CWP Team will be holding two “Open House” events in early October (planned for **12-13 September** at SPAWAR San Diego and **15-19 September** in the Pentagon and via VTC) to talk to project nominators about their ideas for FY13 submissions. These one-on-one discussions will be by appointment.

Please let the CWP Team know if you are interested in more information or would like to participate in one of the Open House events or would like help with your nomination. coalition.warfare@osd.mil

These Open Houses are opportunities for project managers to ask the CWP Team questions about the process and to discuss proposal ideas. The CWP Team can also provide advice on the necessary coordination and project planning that will help make a nomination successful. The CWP Team and SMEs might recommend, for example, that particular countries be targeted as international partners for cooperative development or might organize meetings that bring together relevant subject-matter-experts (e.g., based on technology, international partners involved, and international agreements) to investigate and clarify the viability of a particular proposal.

Resubmissions: Project leads wishing to re-submit a proposal from a prior year should review the nomination templates and provide revised submissions of their CWP project nominations in a timely manner. The new nomination should adequately address feedback provided by the CWP Team.

STEP 3: PROJECT PLANNING

Management Planning: Successful cooperative projects with foreign counterparts require broad engagements across the DoD to assure compliance with plans, processes, and regulations. The Project Team must receive confirmed commitment from international partners before submitting a CWP nomination.

Project Team: The Project Team will have a designated team lead and could have multiple U.S. partners participating in the effort. Team members are responsible for the technical, financial, and contractual aspects of the project. More complex projects might need to include technology transfer and foreign disclosure specialists on the Project Team. Other projects will include these specialists on the supporting teams.

Support Team: Support elements to a project include the offices assisting with the processes and project development, but not necessarily involved in day-to-day activities. Examples of support elements include: Attachés in the foreign embassies, Offices of Defense Cooperation in overseas U.S. embassies, and Service and AT&L desk officers or other organizations that support information sharing and coordination with counterparts, foreign disclosure, security, technology transfer, and international agreements.

Advocates: Advocates are the supportive user-community representatives of the end-user of the products. Science Advisors/Science and Technology staffs within the COCOMs are the best source of advocates for a project nomination. A Project Team should seek support of an advocate for a project idea early in the proposal development process to make the nomination competitive.

Endorsers: Like advocates, endorsers support the end-use of the products. Organizations that are solicited and have stated support of the project are project endorsers. These may be at any level, from program offices interested in transitioning the technology, resource sponsors, other COCOM offices, senior level DoD support, other Agencies, or foreign partners.

Financial Planning: Project Teams should start identifying which internal resources will be available for the project early in the project nomination development process. This requires a good relationship with the organization's budget and contracting office.

Test and Demonstration Planning: Project leads should identify early in their planning what demonstration or exercise venues (e.g., Coalition Warrior Interoperability Demonstration (CWID), COCOM exercises, etc) they plan to participate in during the CWP project. Many of these venues require early application and test plans.

International Agreement Development: Most, but not all, CWP projects require international agreements to be negotiated and signed to facilitate the projects. The appropriate Service international program offices can assist the Project Team with understanding what agreements, if any, are needed to

conduct the project. An agreement need not be in place or in negotiations at the time a proposal is submitted to OSD for consideration, but will need to be in place before a selected project can begin execution. Project Teams may also consult the International Armaments Cooperation Handbook at <http://www.acq.osd.mil/ic/handbook.pdf> for general guidance on the development and conduct of international research and development agreements.

Addressing technology transfer, export control, security and disclosure issues: Because CWP projects require engagement with foreign governments, and sometimes also with foreign and U.S. industry, Project Teams need to understand and work with the appropriate organizations on the security requirements early in the nomination development process. The CWP Team can provide the necessary points of contact upon request.

STEP 4: INITIAL NOMINATIONS

Projects require different degrees of staffing prior to submission depending on the organizations and international agreements involved. The Service CWP representatives from the IPOs have earlier due dates to review and coordinate on planned CWP nominations, as listed below. Please contact them to understand any and all Service specific deadlines and requirements. They will provide the nominations to the CWP Team on or before the initial due date.

	Initial Nominations	Service In-Person Reviews
Army: DASA(DE&C)	9 December 2011	7 February 2012
Navy: NIPO o1C	1 December 2011	9 February 2012
Air Force: SAF/IAPQ	9 December 2011	

Initial nominations for FY13-14 funding must be submitted to coalition.warfare@osd.mil and the CWP Team no later than 13 January 2012.

A complete nomination includes the following documentation:

- [CWP Questionnaire \(Annex A\)](#)
- [Nomination Form \(Annex B\)](#)
- [Quad Chart \(Annex C\)](#)

Please answer the questions posed in the templates as completely as possible. Seek the support of the CWP Team and the Service CWP representatives at any time if you need help answering these questions.

STEP 5: EVALUATION AND FEEDBACK

The CWP Team will analyze each incoming proposal and determine what, if any, critical data is missing. Projects must have sound project plans represented in the nomination package. The CWP Team will review the initial nominations and provide feedback to the Project Team with the aim of making the nominations as competitive as possible. This feedback will include face-to-face meetings, video teleconferences, teleconferences with the larger Project Team and necessary coordinating offices, as well as email and phone calls with the technical and support leads.

Project Teams will have the time between the initial and final due dates to update their proposals based on feedback received. The CWP staff requests timely responses to questions to better coordinate updated submissions with SME reviewers.

STEP 6: FINAL NOMINATIONS

Final nominations are due to the CWP Team no later than 24 February 2012. Proposals will be rejected as a candidate if not completed by the deadline.

A complete final nomination includes the following documentation:

- Updated [Nomination Form \(Annex B\)](#)
- Updated [Quad Chart \(Annex C\)](#)

STEP 7: FINAL EVALUATION: REVIEW BOARD AND SELECTION

The CWP Team will convene the SME Review Panel in late March to evaluate the proposals that qualify for CWP funding. Each proposal will be evaluated against the Department's warfighting priorities and the CWP project criteria (see CWP Requirements). Separately, the CWP Team will hold meetings with respective Embassy representatives to evaluate partner commitment and execution plans of proposed projects.

The CWP Team will use SME feedback as part of the analysis to determine selection recommendations for Director, IC. Following the formal evaluation process, project leads will be notified whether or not their candidate proposals were selected for CWP in late May/ early June.

STEP 8: PROJECT INITIATION AND FUNDING RELEASE

Upon notification, the selected Project Teams will be assigned a CWP Team lead and will be required to sign and return the [CWP Agreement Form \(Annex D\)](#) as soon as possible. In signing the form, Project Offices agree to comply with CWP reporting requirements.

CWP funding is dependent upon congressional approval of the CWP budget and successful completion of the required steps to initiate the project. These steps include completing the necessary

international agreements, developing valid project plans, and securing partner nation and U.S. partner funding and resources.

Initial reporting to the CWP Team is due on or before 15 June 2012.

Initial documents consist of:

- **Revised Nomination Package (Annexes [B](#) and [C](#))** that incorporates any changes to the project plan or contributions as a result of follow-on discussions.
- **[Monthly Financial Report \(Annex E\)](#)**. Disbursement instructions and obligation and spend plans.
- **[Quarterly Status Report \(Annex F\)](#)**

This documentation is required to prepare the disbursement of funds to the project offices and to complete budget plans for the upcoming fiscal year. These documents are critical reporting elements for the CWP Team, which has reporting requirements within AT&L and to the OSD Comptroller.

Don't wait until the Due Date! The financial reporting is the most time consuming of the initial documents; it requires a thorough understanding of the project plan and engagement by project leads' financial and contracting offices. The CWP Team will provide guidance to project managers and their teams.

STEP 9: PROJECT EXECUTION

The Director, IC will initiate the transfer of funds to the Project Team's designated budget office in accordance with the project's funding plan. CWP funds are only authorized for the specific project and fiscal year designated. Project Teams' performance is measured against the project schedule and spend plan provided to the CWP Team and responsiveness to CWP or Comptroller requests for information regarding CWP project execution.

During the execution phase of the project, Project Teams must implement sound financial management practices. This includes submitting required financial reporting documents on time, obligating funds as soon as possible, forwarding obligation documents to the CWP Team, and executing funds per the defined expenditure plans ([Annex E](#)).

YEAR ONE: In general, Project Teams should plan to start execution in December and to expend through the following December. This means that all international agreements and contracts should be in place in time for a December start. If contracts are in place earlier, please let the CWP Team know. CWP will distribute funding as soon as it can in the new fiscal year, subject to congressional completion of the DoD Appropriation Bill.

YEAR TWO: Project Teams receiving second year funds should start their obligation and expenditure plans in November of the new fiscal year and execute through the remainder of the project.

The CWP Team has a minimal set of required documentation to keep abreast of the project's status and assist as required. The reporting requirements are as follows.

- **15th of each month** - [Monthly Report \(Annex E\)](#). Required for the updated obligation and expenditure information for the previous month, as provided by the Project Team's financial officers. In addition, copies of obligation documents (contracts, outlays, etc) are required as they are available.
- **15th of October, January, April and July** – [Monthly Report \(Annex E\)](#), [Quarterly Report \(Annex F\)](#) and [Updated Quad Chart \(Annex C\)](#) - Provides an update on the project by describing progress toward goals, identifying issues impeding progress, and updating funding charts with U.S. and partner leveraged funds.

Project leads are required to submit quarterly reports to the CWP Team regardless of the level of activity in any given month or quarter. Monthly reports are required as soon as funds are provided to the project.

- **Status Updates/Project Reports.** Project Teams are encouraged to invite the CWP Team to major project events and to send the CWP Team reports from demonstrations and trials through the life of the project. Project Teams should alert the CWP Team to any issues that arise (including changes to the obligation and expenditure plans). Occasional reports on the transition status of the project after CWP support has ended are welcomed.

Year Two Updates. Project managers must update their obligation and expenditure plan for the Year Two funds as part of their 15 July 2013 quarterly report.

- **Final Report (Annex G).** The Project Team should forward the Final Report within 60 days of the project's completion. Annex G contains a final report outline, which includes a narrative describing how well the project met originally stated goals and objectives, reports from demonstrations and trials, a description of the project's challenges that may have impacted the final outcome, likely follow-up activities (i.e., further testing, acquisition, etc.), and a comprehensive picture of all spending that transpired (OSD, other DoD and foreign partner).

All monthly and quarterly reports must be submitted until the CWP Team receives the project's final report.

CONTACT CWP

Website: <http://www.acq.osd.mil/ic/cwp.html>

Email: coalition.warfare@osd.mil

ANNEXES

[A: Questionnaire](#)

[B: Nomination Form](#)

[C: Quad Chart](#)

[D: Acceptance Form](#)

[E: Monthly Report](#)

[F: Quarterly Report](#)

[G: Final Report](#)

ACRONYMS

COCOM	Combatant Command
C4ISR	Command, Control, Communications and Computers and Intelligence, Surveillance, and Reconnaissance
CWID	Coalition Warrior Interoperability Demonstration
CWP	Coalition Warfare Program
DAU	Defense Acquisition University
FMR	DoD's Financial Management Regulation
DASA/DE&C	Deputy Assistant Secretary of the Army for Defense Exports and Cooperation
DoD	Department of Defense
FPOC	Financial Point of Contact
IC	International Cooperation
ICR&D	International Cooperative Research and Development
IPO	International Program Office
JCTD	Joint Capability Technology Demonstrations
MIPR	Military Interdepartmental Purchase Request
NIPO	Navy International Programs Office
OSD	Office of the Secretary of Defense
OUUSD(AT&L)	Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics
OUUSD(P)	Office of the Undersecretary of Defense for Policy
PE	Program Element
PEO	Program Executive Office
PM	Program Manager
NATO	North Atlantic Treaty Organization
QDR	Quadrennial Defense Review
R&D	Research and Development
RDT&E	Research, Development, Test, and Evaluation
S&T	Science and Technology
SAF IAPQ	Secretary of the Air Force for International Affairs
SBIR	Small Business Incentive Research
SME	Subject Matter Expert
SPAWAR	Space and Naval Warfare Systems Command
STTR	Small Technology Transfer Innovation Research
USC	United States Code